

1.710 PERFORMANCE EVALUATIONS

1.710.02 Performance Review & Development

(35.1.1.c & .d, 35.1.2, 35.1.3, 35.1.5.c, 35.1.8)

- A. A performance evaluation, using the university's Employee Performance Review and Development (EPRD) process, will be conducted and documented at least:
 1. Quarterly for all employees during their initial 12-month probationary period (1st & 3rd retained internally, 2nd & 4th forwarded to the Office of Human Resources (OHR)); and
 2. Annually for all employees consistent with OHR's schedule.
- B. Employees will be rated by their unit supervisors whenever possible. In cases where this is not possible, unit supervisors will have considerable input into the evaluation process.
- C. Raters will:
 1. Complete performance management training conducted by OHR before carrying out their evaluation responsibilities;
 2. Conduct evaluation activities competently, fairly, consistently, and consistent with departmental and OHR procedures and time deadlines;
 3. Be evaluated by their superiors based on the quality of ratings given subordinates.
- D. All employees have designated evaluation reviewers that are normally their commanders. Employees who report directly to the Chief have reviewers that are designated by the Chief in consultation with OHR.
- E. The commander responsible for the agency's human resources function, "HR COMMANDER," is responsible for coordinating and facilitating the agency's participation in the EPRD system.

1.710.04 Evaluation Records

(35.1.1.a, 35.1.5.b)

- A. Only those forms provided or authorized by OHR will be used in the evaluation process.
- B. Performance factors for employees and supervisors are listed and described on the forms.
- C. Rating levels are listed and defined on the forms. All evaluation ratings must be supported by written comments.

1.710.06 Performance Evaluation Cycle

(35.1.1.b & .c, 35.1.4, 35.1.5.a, .c, .d, .e, .f, .g, 35.1.6, 31.1.7)

- A. At the beginning of an evaluation cycle, raters will:
 1. Meet with designated reviewers to:
 - a. Review employees' most recent evaluations to determine what, if any, performance matters still need to be addressed in the upcoming evaluation cycle; and
 - b. Determine the primary job performance expectations that are specific to employees' assignments during the upcoming rating period.
 2. Meet with employees to:
 - a. Describe what will be considered at least "Meets Expectations" for each rated area;
 - b. Give careful consideration to employees' input into establishing final performance expectations;
 - c. Discuss the importance and priority of all final performance expectations; and
 - d. Give copies of performance expectations to employees.
- B. During the evaluation cycle, raters will:
 1. Examine and document information that relates to employees' established performance expectations to ensure future evaluations are accurate and meaningful;
 2. Routinely meet with employees at least once, preferably about halfway through the rating period, for a feedback/coaching meeting and define actions that may improve employees' performance;
 3. In consultation with subordinates' raters, inform employees in writing of any necessary updates or revisions to performance goals; and
 4. Notify employees in writing of unsatisfactory performance in sufficient time for employees to improve their performance before the end of rating periods. These notifications must be made to non-probationary employees at least 90 days, or as soon as reasonably possible, before the end of the rating period.

- C. At the end of the evaluation cycle, raters will:
1. Review all documented information that relates to employees' established performance expectations only for the specified rating period;
 2. Complete and sign the appropriate evaluation form consistent with OHR's procedures;
 3. Discuss evaluations with reviewers to ensure evaluations have been completed uniformly and impartially, that raters have been active in counseling their employees, and that ratings are consistent with established performance expectations for the evaluation period. Raters and reviewers will attempt to reach consensus on the ratings, however, reviewers have the authority to change ratings or make additional evaluation comments before signing evaluations as the official version of the ratings;
 4. Meet one-on-one with their employees to discuss:
 - a. The results of the evaluation;
 - b. The level of performance expected, rating criteria or goals for the next rating period; and
 - c. Career counseling relative to such topics as advancement, specialization, or training appropriate for the employee's position;
 5. Give employees the opportunity to sign and make written comments to supplement the completed evaluation. Employees' signatures indicate only that they have read their evaluations. If employees refuse to sign their evaluations, raters will note this on the forms in addition to the reasons for refusal if given by subordinates;
 6. Give a copy of the completed evaluation to the employee;
 7. Forward completed evaluations to reviewers.
- D. EPRD originals will be submitted to the HR COMMANDER to ensure that:
1. EPRD originals are submitted to OHR for maintenance consistent with their retention schedule; and

2. EPRD copies are placed in employee's on-site personnel file. Only the most recent three yearly evaluations will be retained in the on-site personnel files.
- E. Employees who wish to formally contest their EPRD evaluations must do so consistent with **1.422 Grievances**.

1.710.08 Performance Observation Record

(26.1.4.b, 35.1.1.c)

- A. The agency uses counseling as a function of discipline. This process also gives employees on-going feedback and coaching.
- B. Supervisors and commanders will use the **Performance Observation Record (POR) (UPO.007.D)** process on an on-going basis to:
1. Document subordinates' performance that is above or below standards and conversations with subordinates about their performance;
 2. Assist in determining subordinates' training needs;
 3. Improve employee performance;
 4. Prepare performance ratings;
 5. Document progress, or lack thereof, on previously issued PORs; and
 6. Ensure subordinates are informed in writing when their performance is deemed to be below expectations or unsatisfactory in order to provide them opportunities to improve their performance before the end of rating periods.

1.710.10 Performance Recognition & Evaluation System (PRES) (35.1.9)

- A. The Performance Recognition and Evaluation System (PRES) is a non-punitive and time sensitive system that is used to PROMPTLY RECOGNIZE, EVALUATE, AND RESPOND TO EMPLOYEES' PERFORMANCE THAT may have the potential for negative consequences to the employees, other employees, or the community.
- B. The criteria that activate the PRES are:
1. Motor Vehicle Operations:
 - a. Any pursuit;
 - b. Any at-fault or preventable on-duty accident;
 2. ANY REPORTABLE USE OF FORCE;

3. Performance:
 - a. A drop of ONE evaluation level for any category during an evaluation period;
 - b. ONE OR MORE "DOES NOT MEET EXPECTATIONS" RATING IN 12 MONTHS;
 - c. ANY COMPLAINT;
 - d. Sick leave verification status;
 4. ANY ON OR OFF DUTY INCIDENT THAT RESULTS IN DEATH OR SERIOUS BODILY INJURIES TO OTHERS; OR
 5. Any other single incident, noteworthy, or other performance factors that need attention as determined by a supervisor or commander.
- C. The HR COMMANDER has PRES duties and responsibilities that include, but are not limited to:
1. CONDUCTING DOCUMENTED MEETINGS WITH EMPLOYEES' RESPECTIVE COMMANDERS ANY TIME THERE IS A REPORTED INCIDENT LISTED IN B. TO DETERMINE IF EMPLOYEES MAY BENEFIT FROM IMPLEMENTING PERFORMANCE ACTION PLANS;
 2. SECURELY COLLECTING AND MAINTAINING ALL PRES RELATED DOCUMENTS AND RECORDS
 3. Assisting commanders, supervisors, and OHR with developing ANY APPROPRIATE action plans and identifying resources, training programs, available funding, etc.;
 4. Facilitating and tracking action plan implementation and benchmarks with supervisors and commanders; and
 5. Conducting yearly documented evaluations of the system to determine:
 - a. The number of employees that were covered by the system;
 - b. The identification criteria that were used to place employees in the system;
 - c. If the system was operated fairly and equitably;
 - d. The overall results for the year; and
 - e. If any changes should be recommended.
- D. Employees' immediate supervisors are responsible on a day-to-day basis for assessing employees' performance and compiling the information to support employees' performance evaluations. As such, immediate supervisors have PRES duties and responsibilities that include, but are not limited to:
1. Being alert for incidents, activities, or performance that could activate the PRES and articulating this information in memorandums through their commanders to the HR commander;
 2. Working with their commanders in developing action plans, identifying resources, etc.;
 3. Meeting with selected employees and their commanders to review the targeted performance and action plans;
 4. Retaining copies of action plans to assist in the process of monitoring and documenting employees' activities to ensure action plan objectives are completed within timelines;
 5. Providing frequent feedback to employees and commanders about the employees' progress in meeting action plan objectives; and
 6. Making appropriate recommendations to modify action plans based on employees' performance.
- E. Commanders have PRES duties and responsibilities that include, but are not limited to:
1. Being alert for incidents, activities, or performance that could activate the PRES;
 2. Ensuring the HR COMMANDER is provided copies of relevant documents, reports, etc.;
 3. Working with the HR COMMANDER, supervisors, and OHR in developing action plans, identifying resources, etc.;
 4. Meeting with selected employees and their supervisors to review the targeted performance, and develop action plans;
 5. Ensure originals of completed action plans are forwarded to the PRES coordinator with copies retained by the employees' commanders and given to the employees and their supervisors;
 6. Monitor employees' activities to ensure action plan objectives are completed within timelines; and
 7. Complete and submit final after action reports to the HR COMMANDER. Final reports should include:
 - a. All dates and actions taken;
 - b. Monitoring and observation reports;
 - c. Explanations for any changes made to action plans;

- d. Brief summaries of employees' efforts to meet action plan goals; and
 - e. Any other relevant recommendations or comments from commanders, supervisors, or employees.
- F. Action plans are developed together with identified employees, their supervisors, commanders, and, as appropriate, in consultation with OHR. Action plans:
- 1. Must clearly identify job performance matters to be addressed, make any necessary recommendations, and how the recommendations are expected to address identified concerns. Recommendations may include, but are not limited to:
 - a. Taking no actions;
 - b. Counseling by supervisors;
 - c. Making field/workplace observations;
 - d. Formal or on-the-job training;
 - e. Making temporary assignment changes;
 - f. Referring employees to the Employee Assistance Program through OHR;
 - g. Ordering fitness for duty examinations; and
 - 2. Establishing specific goals and objectives;
 - 3. Establish timetables for completing recommendations based on available resources and matters to be addressed;
 - 4. May be incorporated into current evaluations as objectives or career development activities; and
 - 5. Will be reviewed by involved employees and their immediate supervisors periodically while action plans are active.
- G. Most all documents and reports used to initiate the PRES are regularly generated during the normal scope of agency business. These documents and reports include, but are not limited to:
- 1. Incident reports;
 - 2. Performance evaluations;
 - 3. ACRS reports;
 - 4. Complaint notifications;
 - 5. Sick leave verification status letters; and
 - 6. Training orders.